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BAKER BOTTS LLP

Please type a plus sign (+) inside this box \longrightarrow

| 51 | | | | Application Numl | ber | 09/831,218 |
|---|---|------------------------|--|---|-----------|--|
| 2001 ° | TRAN | SMITT | AL | Filing Date | | May 4, 2001 |
| ART OFFICE | F | ORM | | First Named Inve | ntor | Paek, Seungyup et al. |
| | e used for all corr | respondence afte | r initial filing) | Group Art Unit | | To Be Assigned /. |
| | | | | Examiner Name | | To Be Assigned / |
| Total Number of Pages in This Submis | | | ssion | Attorney Docket N | umber | A32283 PCT USA |
| | | | ENCL | OSURES (c | heck a | all that apply) |
| Amendm Af Af Extension Express Informati Documen Respons Incomple | ee Attached nent / Reply fter Final offidavits/declaration of Time Reque Abandonment R ion Disclosure St Copy of Priority nt(s) se to Missing Parete Application esponse to Missinder 37 CFR 1.52 | tequest tatement | Drawing Licensin Petition Petition Provisio Change Address Termina Reques | ng-related Papers to Convert to a nal Application of Attorney, Revocatior of Correspondence | n [| After Allowance Communication to Group Appeal Communication to Boar of Appeals and Interferences Appeal Communication to Grou (Appeal Notice, Brief, Reply Brief) Proprietary Information Status Letter Other Enclosure(s) (please identify below): |
| | | | | | - | |
| Firm | Bak | SIGNATU erBotts LLP | RE OF APPLI | CANT, ATTORNEY | , OR A | GENT |
| or Individual name | l l | Rockefeller Pla | | | | |
| Signature | New | V York, NY 10 | 112 | Att Na | | Paul D. Ackerman |
| Date | Dec | ember 6, 200 | 1 | PTO R | ceg: | 39,891 |
| | 1-30 | | | ATE OF MAIL INC | | |
| I hereby certify the | nat this correspor | ndence is being o | deposited with th | ATE OF MAILING THE United States Posta Thington, DC 20231 on | al Servic | e with sufficient postage as first class |
| Typed or print | | Paul D. Acke | | J - , | | December 0, 2001 |
| Signature Take | | | (11)/ | | Date | December 6, 2001 |

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DEC

TRANSMITTAL for FY 2001

Complete if Known Application Number 09/831,218 Filing Date May 4, 2001 Paek, Seungyup et al. First Named Inventor **Examiner Name** To Be Assigned To Be Assigned Group Art Unit

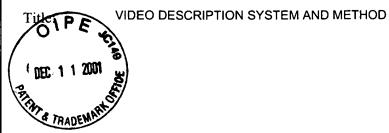
Patent fees are subject to annual revision. **TOTAL AMOUNT OF PAYMENT** (\$) 1,570 A32283 PCT USA Attorney Docket No. **METHOD OF PAYMENT** FEE CALCULATION (continued)

| The Commissioner is hereby authorized to charge | 3. ADDITIO | NAL FE | ES | |
|---|------------------|--------------|--|----------|
| Deposit | Large | Sma | | |
| Account Number 02-4377 | Entity Fee | Entit Fee | y Fee Description | Fee Paid |
| Denosit | (\$) | (\$) | ree Description | 130 |
| Account Name Baker Botts LLP | 130 | 65 | Surcharge - late filing fee or oath | 130 |
| Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 | 50 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| Applicant claims small entity status. | 130 | 130 | Non-English specification | |
| See 37 CFR 1.27 | 2,520 | 2,520 | For filing a request for ex parte reexamination | |
| 2. | 920* | 920* | Requesting publication of SIR prior to Examiner action | |
| FEE CALCULATION | 1,840* | 1,840* | Requesting publication of SIR after Examiner action | |
| 1. BASIC FILING FEE | 110 | 55 | Extension for reply within first month | |
| Large Entity Small Entity | 400 | . 200 | Extension for reply within second month | |
| Fee Fee Fee Description (\$) (\$) Fee Paid | 920 | 460 | Extension for reply within third month | |
| 740 370 Utility filing fee | 1,440 | 720 | Extension for reply within fourth month | 1,440 |
| 330 165 Design filing fee | 1,960 | 980 | Extension for reply within fifth month | |
| 510 255 Plant filing fee | 320 | 160 | Notice of Appeal | |
| 740 370 Reissue filing fee | 320 | 160 | Filing a brief in support of an appeal | |
| 160 80 Provisional filing fee | 280 | 140 | Request for oral hearing | |
| SUBTOTAL (4) (C) O | 1,510 | 1,510 | Petition to institute a public use proceeding | |
| SUBTOTAL (1) (\$) 0 | 110 | 55 | Petition to revive - unavoidable | |
| 2. EXTRA CLAIM FEES Fee from | 1,280 | 640 | Petition to revive - unintentional | |
| Extra Claims below Fee Paid | 1,280 | 640 | Utility issue fee (or reissue) | |
| Total Claims 20 ··· = 0 X = 0 Independent 3 ··· = 0 | 460 | 230 | Design issue fee | |
| Claims Claims | 620 | 310 | Plant issue fee | |
| 2/선생병(Perindenth 00000107 09831(18 = | 130 | 130 | Petitions to the Commissioner | |
| 2 FCangatentity Small Entity 130.00 OP | 50 | 50 | Processing fee under 37 CFR 1.17(q) | |
| Fee Fee Fee Description | 180 | 180 | Submission of Information Disclosure Stmt | |
| (\$) (\$) 18 9 Claims in excess of 20 | 40 | 40 | Recording each patent assignment per property (times number of properties) | |
| 84 42 Independent claims in excess of 3 | 740 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 280 140 Multiple dependent claim, if not paid | 740 | 370 | For each additional invention to be | |
| 84 42 ** Reissue independent claims over original patent | 740 | 0.0 | examined (37 CFR § 1.129(b)) | |
| 18 9 ** Reissue claims in excess of 20 | 740 | 370 | Request for Continued Examination (RCE) | |
| and over original patent | 900 | 900 | Request for expedited examination of a design application | |
| SUBTOTAL (2) (\$) 0 | Other fee (speci | fy) | | |
| **nr number previously neid if greater: For Reissues, see above | *Reduced by Ba | sic Filino | Fee Paid SUBTOTAL (3) (\$) 1,5 | 570 |

| SUBMITTED BY | | | | Complete (il | applicable) |
|-------------------|------------------|-----------------------------------|--------|--------------|------------------|
| Name (PrintlType) | Paul D. Ackerman | Registration No. (Attorney/Agent) | 39,891 | Telephone | 212 408-2585 |
| Signature | Suffil | | | Date | December 6, 2001 |

BAKER BOTTS LLP

Attorney Docket Number: A32283 PCT USA



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| UNITED STATES PATENT AND TRADEMARK O | FFICE |
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Commissioner for Patents, Box PCT inited States Patent and Trademark Office Washington, D.C. 20231

| BAKER BOTTS STO ROCKEFELLER PLAZA STATES DESIGNATED/ELECTED OFFICE (DO/BO/US) 1. The following items have been submitted by the applicant or the 1B to the United States Platent and Trademark Office as a Designated Office (37 CFR 1.494) Part Indicated office (37 CFR 1.495): Office as a Designated office (37 CFR 1.494) Part Indicated of States Platent and Trademark Office as processing under the submitted of the submitted states Platent and Trademark Office as processing under the submitted of the submitted states Platent and Trademark Office as processing under the submitted of the submitted states Platent and Trademark Office as processing under the submitted of the submitted into Regulation into Regulation of Annexes to the International Preliminary Examination of Trademark Beamination Report in Beglish and its Annexes, if any. Translation of Annexes to the International Preliminary Examination Report into Beglish. To Translation of Annexes to the International Preliminary Examination Report into Beglish. To Submitted Items in paragraph 3 below. The Bate Mational Fee and the copy of the international application must be International Preliminary Examination Report into Beglish. To Submitted Items in paragraph 3 below. The Bate Mational Fee and the copy of the international application must be International U.S. Basic National Fee. Copy of the international preliminary Examination and the opposition of the submitted Items and the opposition of the International Items and the opposition of the Annexes later than the appropriate 20 or 30 months from the priority date. The current translation is defective for the reasons indicated on the attached Notice of Defective Transla | | NAMED APPLICANT - ATTY, DOCKES NO. |
|--|--|---|
| BAKER BOTTS STO ROCKEFELLER PLAZA DEW YORK NY 10112-4498 11/05/99 11/06. 11/0 | 867629 210 PAEK | |
| BAKER BOTTS 11 / 05 / 99 11 / 06. NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/ROUIS) 11 / 05 / 99 11 / 06. NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/ROUIS) Office as | U7/071/10 | |
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| NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/BO/US) 1. The following items have been submitted by the applicant or the 18 to the United States Patent and Trademark Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.494) sea Bicored Office (77 CFR 1.495): Office as a Designated Office (77 CFR 1.496): Office as a Designated Office (77 CFR 1.497): Office as a | | LA SULVA DATE |
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| 1. The following items have been submitted by the applicant or the IB to the United States Pipent and Trademark Office as a Designated Office (37 CFR 1.49%) Secretary | (53) | 11/05/99 11/06/ |
| 1. The following items have been submitted by the applicant or the IB to the United States Pipent and Trademark Office as a Designated Office (37 CFR 1.49%) Secretary | | 11700775 |
| 1. The following items have been submitted by the applicant or the IB to the United States Pipent and Trademark Office as a Designated Office (37 CFR 1.49%) Secretary | MARY | DATE MAILED: 06/07/01 |
| 1. The following items have been submitted by the applicant or the IB to the United States Plant and Trademark Office as _ a Designated Office (37 CFR 1.494) _ so Elected Office (37 CFR 1.495): | NOTIFICATION OF MISSING REQUIREME | ENTS UNDER 35 U.S.C. 371 IN THE INTERES |
| The following lems have been submited by the application of the 1B to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494) \$\sigma \text{late} \text{latered} \text{Office} (37 CFR 1.495); \text{Corp.} \text{discast of the intermational application into Basilation of Article 19 amendments.} \text{Translation of the intermational application into Basilation of Article 19 amendments.} \text{Translation of Annexes to the Intermational Preliminary Examination Report into English.} \text{Translation of Annexes to the Intermational Preliminary Examination Report into English.} \text{Translation of Annexes to the Intermational Preliminary Examination Report into English.} \text{Translation of Annexes to the Intermational Preliminary Examination Report into English.} \text{Translation of Annexes to the Intermational Preliminary Examination Report into English.} \text{Translation of the priority date to avoid abandomment.} University of the Intermational application must be Timedian and the Intermational application must be Timedian and Preliminary Examination Report into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(6)). | OTATES DESIGNATED/ELA | SCIED OFFICE MONTONIES |
| S. Basic National Fee | 1. The following items have been submitted by the applicant of | of the IR to the United Stores December 4 mg |
| Copy of the international application Translation of the international application into English Coty of Article 19 amendments Translation of Article 19 amendments into English Coty of Article 19 amendments Coty of Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items study Coty of the international application must be indicated items in paragraph 3 below. The Basts National Fee and the copy of the international application must be index to avoid abandonment U.S. Basts National Fee. Copy of the international application Coty of Applicant Coty of Applicant Coty of Applicant Coty of Application | | an Elected Office (37 CFR 1.495): |
| Osah or Declaration of Inventors(s). Other: Copy of Article 19 amendments Other: Priority Document Other: Priority Document Other: The International Preliminary Examination Report in English and its Annexes, if any. To International Preliminary Examination Report into English. Priority Document The International Preliminary Examination Report into English. To Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items smally the indicated items in peragraph 3 below. The Basic National Fee and the copy of the international application must be made items in peragraph 3 below. The Basic National Fee and the copy of the international application must be made items in peragraph 3 below. The Basic National Fee and the copy of the international application must be made in copy and the priority date to a void a bandcomment. | | ation of Small Entity Stams. |
| Copy of Article 19 amendments. Other: Priority Document. The International Preliminary Examination Report in English and its Amexes, if any. Translation of Amexes to the International Preliminary Examination Report into English. TO Translation of Amexes to the International Preliminary Examination Report into English. TO Translation of Amexes to the International Preliminary Examination Report into English. TO Translation of Amexes to the International Preliminary Examination Report into English. To Translation of Amexes to the International Preliminary Examination Report into English. To Translation must be filled the following indicated into English. To Translation of the priority date to avoid abandomment. Copy of the international application must be filled Translation of the septication into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(ft)). Translation Translation of the inveniors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filling date). A surcharge with the required if submitted fater than the appropriate 20 or 30 months from the priority date. The current onth or declaration does not comply with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filling date). A surcharge for providing the card not declaration later than the appropriate 20 or 30 months from the priority date. The current onth or declaration does not comply with 37 CFR 1.497(a) and (b), for the reasons indicated on the attached PCT/DO/BO/917. A surcharge for providing the card not declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(a)). The current onth of the International application international claims for which fees are used (37 CFR 1.492(a)). The current of th | | lation of the international application into English |
| Priority Document. The International Preliminary Examination Report in English and its America, if any. To | Come of Article 10 amonthments (8). | lation of Article 19 amendments into English LK BOTTS L.L |
| Translation of Annexes to the International Preliminary Examination Report into English. TO | | GI TINL 10 OV. |
| Translation of America to the International Preliminary Examination Report into English. | | AL JUN 15 IAM 1: 1 |
| 2. Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following inflicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be first prior to 20 or 30 months from the priority date to avoid abandcomment. U.S. Basic National Fee. | Translation of Appears to the International Property | in English and its Annexes, if any. |
| prior to 20 or 30 months from the priority date to avoid abandomment. U.S. Basic National Fee. Copy of the international application. | Li ramanado di Annexes to the International Prelimi | nary Examination Report into English. |
| prior to 20 or 30 months from the priority date to avoid abandomment. U.S. Basic National Fee. Copy of the international application. | 2. Applicant has requested early processing under 35 II 5 C | 371(0) but her not filed to 5 m |
| U.S. Basic National Fee. | To mercene terms in baraktabii 3 0000M. The Rasic Manunal H | fee and the compact the demandation is a second to the desired to |
| Only of the international application. 3. The following items MUST be furnished within the period set forth below in order to complete the requirements for inceptance under 35 U.S.C. 371: □ a. Translation of the application into Baglish. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date. □ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation. □ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CPR 1.492(6)). □ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), property identifying the application (preferably by the international application number and international filling date). A surrhange will be required if submitted later than the appropriate 20 or 30 months from the priority date. □ The current eath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/BO/917. □ d. Surchange for providing the eath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)). Additional claim fees of \$ | and priority date to avoid abaliding | iment. |
| 13. The following items MUST be furnished within the period set forth below in order to complete the requirements for a complete under 35 U.S.C. 371: a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date. The current translation is defective for the reasons indicated on the attached Notice of Defective Translation. b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.497(a) and (b), property identifying the application (preferably by the international application number and international filling date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date. The current each or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/BO/917. d. Surcharge for providing the eath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)). Additional/claim fees of S | U.S. Basic National Fee. Copy | of the international application. |
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| a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date. The current irranslation is defective for the reasons indicated on the attached Notice of Defective Translation. D. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.497(a) and (b), properly identifying the application (preferably by the international application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/BO/917. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)). Additional claim fees of \$ | acceptance under 35 U.S.C. 371 | et forth below in order to complete the requirements for ${f V}$ |
| The current translation. The current translation is defective for the reasons indicated on the attached Notice of Defective Translation. D. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)). C. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/BO/917. A. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)). Additional claim fees of \$ | | |
| Translation. □ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(a)) and (b), properly identifying the application (preferably by the international application mumber and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date. □ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/BO/917. □ A surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)). Additional claim fees of \$ as a □ large entity □ small entity, including any required multiple dependent laim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are use (37 CFR 1.492(g)). See attached PTO-875. □ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached CT/DO/BO/920. LL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) AND THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM HE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY ESPOND WILL RESULT IN ABANDONMENT. The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.36(a). If box 3a or 3c is checked, a translation of the Annexes MUST be submitted no later than the time period set above or the macres will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date. □ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)). The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)). The Article 19 amendments are cancelled since a | later than the appropriate 20 or 30 months fro | The priority does |
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and avoid abandonment is set in the accompanying Notification.

A new oath or declaration, properly identifying this application (preferably by the international application number and international filing date) is required. The oath or declaration does not comply with 37 CFR 1.497(a),(b) and (f) in that it:

| ملاان! | is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68. |
|--------|---|
| 2. | does not identify the application to which it is directed. |
| 3. 🔲 | does not identify the inventor(s). |
| 4. □ | does not identify the citizenship of each inventor. |
| 5. 🗀 | does not state that the person making the oath or declaration believes the named inventor or inventors |
| | to be the original and first inventor or inventors of the subject matter which is claimed and for which |

FAILURE TO SUBMIT AN OATH OR DECLARATION IN COMPLIANCE WITH 37 CFR 1.497(a) AND (b), AND 1.497(d) WHERE APPROPRIATE, WITHIN THE TIME PERIOD SET WILL RESULT IN FAILURE TO ENTER THE NATIONAL STAGE AND THE ABANDONMENT OF THE APPLICATION.

Additionally, the oath or declaration does not comply with 37 CFR 1.63 in that it:

| 1 | does not identify the mailing address of each inventor. If the residence is different from the mailing address, then the city and state or city and foreign country of residence of each inventor must also be given. |
|-------------|--|
| 2. | does not state that the person making the oath or declaration: |
| a | has reviewed and understands the contents of the application, including the claims, as amended by any amendment specifically referred to in the oath or declaration. |
| ъ. <u> </u> | acknowledges the duty to disclose to the Office all information known to the person to be material to patentability as defined in 37 CFR 1.56. |
| 3. | does not identify the foreign application for patent or inventor's certificate for which a claim for priority is made pursuant to 37 CFR 1.55, and any foreign application having a filing date before that of the application on which priority is claimed, by specifying the application serial number, country, day, menth, and year of its filing. |

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